

IDS Form PTO/SB/08: Substitute for form 1449A/PTO				<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)				Application Number	10/568,098
				Filing Date	06/20/2006
				First Named Inventor	GOLETZ, Steffen
				Art Unit	1633
				Examiner Name	Lesvitt, Maria Gomez
Sheet	1	of	4	Attorney Docket Number	10913.0003-00000

U.S. PATENTS AND PUBLISHED U.S. PATENT APPLICATIONS					
Examiner Initials	Cite No. <sup>1</sup>	Document Number	Issue or Publication Date <sup>2</sup> MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
		US-4,931,275	06-05-1990	Shinitzky et al.	
		US-5,948,646	09-07-1999	Srivastava	
		US-5,961,979	10-05-1999	Srivastava	
		US-6,168,793	01-02-2001	Srivastava	

**Note:** Submission of copies of U.S. Patents and published U.S. Patent Applications is not required.

FOREIGN PATENT DOCUMENTS						
Examiner Initials	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	Translation <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
		WO 99/29834 A	June 17, 1999	Fordham University		

NONPATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	Translation <sup>6</sup>
		ALBERT, "Dendritic cells acquire antigen from apoptotic cells and induce class I-restricted CTLs," <i>Nature</i> , 392:86-89 (1998).	
		ALLISON A. et al., "The role of cytokines in the action of immunological adjuvants," <i>Vaccine Design The Role of Cytokine Networks</i> , Gregoriadis ed., NATO ASI Series A: Life Sciences, Vol. 293, pp.1-9, Plenum Press, NY (1997).	
		BERD, "Autologous hapten-modified melanoma vaccine as postsurgical adjuvant treatment after resection of nodal metastases," <i>J. Clin. Oncol.</i> , 15:2359-2370 (1997).	
		BERTHIER-VERGNES, "Induction of IgG Antibodies Directed to a M <sub>r</sub> 31,000 Melanoma Antigen in Patients Immunized with Vaccinia Virus Melanoma Oncolysates," <i>Cancer Res.</i> 54:2433-2439 (1994).	
		BINDER, "Cutting Edge: Heat Shock Protein gp96 Induces Maturation and Migration of CD11c <sup>+</sup> Cells In Vivo," <i>J. Immunol.</i> ; 165:6029-6035 (2000).	
		BOMFORD et al., "The control of the antibody isotype responses to recombinant human immunodeficiency virus gp120 antigen by adjuvants," <i>AIDS Res. Hum. Retroviruses</i> , 8:1765 et seq. (1992).	
		BOURDON, "Inhibition of Tumoral Graft Growth by Pretreatment with Normal or Heat-modified Tumoral Cells," <i>Ann. Immunology</i> 1, 43-63 (1981).	
		CAVALIERE, "Selective heat sensitivity of cancer cells. Biochemical and clinical studies," <i>Cancer</i> 20:1351-1381 (1967).	

IDS Form PTO/SB/08: Substitute for form 1449A/PTO				<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)				Application Number	10/568,098
				Filing Date	06/20/2006
				First Named Inventor	GOLETZ, Steffen
				Art Unit	1633
				Examiner Name	Lesvitt, Maria Gomez
Sheet	2	of	4	Attorney Docket Number	10913.0003-00000

NONPATENT LITERATURE DOCUMENTS					
		CHECK, "Protection against transplanted and spontaneous lymphoma by inoculation of heat-altered syngeneic tumor cells in splenectomized mice," <i>Cancer</i> , 34:197-203 (1974).			
		CHEN Z. et al., "Efficient Antitumor Immunity Derived From Maturation of Dendritic Cells That had Phagocytosed Apoptotic/Necrotic Tumor Cells," <i>International Journal of Cancer</i> , Vol. 93, No. 4, pages 539-548 (2001)			
		CLAYMAN (ed.), The American Medical Association Encyclopedia of Medicine at 573-574, 576 and 1034 (1989).			
		COX et al., "Adjuvants -- A classification and review of their modes of action," <i>Vaccine</i> , Vol 15, pp 248 et seq., (1997).			
		COX et al., "Development of an Influenza-ISCOM.TM. Vaccine," in <i>Vaccine Design</i> at pp. 33-49 (1997).			
		CRYZ, Jr., S.J., <u>Immunotherapy and Vaccines</u> , edited by Stanley J. Cryz, pp. 3-11, VCH, Weinheim, Germany (1991).			
		DICKSON, "Hyperthermia in the treatment of cancer," <i>Lancet</i> , 1:202-205 (1979).			
		<u>Dictionary of Immunology</u> , pp. 3, 7, 46, 87-88, 94, 97, 105, 116.			
		DRESSEL, "Heat Shock Protein 70 Is Able to Prevent Heat Shock-Induced Resistance of Target Cells to CTL," <i>J. Immunol.</i> , 164:2362-2371 (2000).			
		FENG, "Stressed apoptotic tumor cells express heat shock proteins and elicit tumor-specific immunity," <i>Blood</i> , 97:3505-3512 (2001).			
		FERENCIK, M., <u>Handbook of Immunocytochemistry</u> , p. 115-116, Chapman & Hall (1993).			
		FUJIWARA, "Establishment of a tumor-specific immunotherapy model utilizing TNP-reactive helper T cell activity and its application to the autochthonous tumor system," <i>J. Immunol.</i> , 133:509-514 (1984).			
		<u>Fundamental Immunology</u> , p. 1007-1009, Ed. W.E. Paul, Raven Press, NY.			
		GALLUCI, " <u>Danger signals: SOS to the immune system</u> ," <i>Curr. Opin. Immunol.</i> , 13:114-119 (2001).			
		GALLUCI, "Natural adjuvants: Endogenous activators of dendritic cells," <i>Nat. Med.</i> , 11:1249-1255 (1991).			
		GOLETZ, et al., "Thomsen-Friedenreich Antigen: the "hidden" tumor antigen." <i>Adv. Exp. Med. Biol.</i> , 535:147-62 (2003)			
		GIOVANELLA, "Effects of Elevated Temperatures and Drugs on the Viability of L1210 Leukemia Cells," <i>Cancer Res.</i> , 30:1623-1631 (1970).			
		GOUGH M.J. et al., "Macrophages Orchestrate the Immune Response to Tumor Cell Death," <i>Cancer Research</i> 61, pages 7240-7247 (2001)			
		KOTERA Y. et al., "Comparative Analysis of Necrotic and Apoptotic Tumor Cells as a Source of Antigen(s) in Dendritic Cell-Based Immunization," <i>Cancer Research</i> , Vol. 61, No. 22, pages 8105-8109 (2001)			

IDS Form PTO/SB/08: Substitute for form 1449A/PTO				<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)				Application Number	10/568,098
				Filing Date	06/20/2006
				First Named Inventor	GOLETZ, Steffen
				Art Unit	1633
				Examiner Name	Lesvitt, Maria Gomez
Sheet	3	of	4	Attorney Docket Number	10913.0003-00000

NONPATENT LITERATURE DOCUMENTS			
		LEFFELL, Mary S., An Overview of the Immune System: The Molecular Basis for Immune Responses, in <u>Human Immunology Handbook</u> , pp. 1-45.	
		LUFTIG, R.B., <u>Microbiology and Immunology</u> , pp. 228-229, Lippincott-Raven Pub, Phila. (1998).	
		MACH, "Cytokine-secreting tumor cell vaccines," <i>Curr. Opin. Immunol.</i> 12, 571-575 (2000).	
		MELCHER, "Apoptosis or necrosis for tumor immunotherapy: what's in a name?" <i>J. Mol. Med.</i> 77:824-833 (1999).	
		MELCHER, "Tumor immunogenicity is determined by the mechanism of cell death via induction of heat shock protein expression," <i>Nat. Med.</i> , 4:581-587 (1998).	
		MISE, "Effect of Heat Treatment on Tumor Cells and Antitumor Effector Cells," <i>Cancer Res.</i> , 50:6199-6202 (1990).	
		MITCHELL, "Active Specific Immunotherapy for Melanoma: Phase I Trial of Allogeneic Lysates and a Novel Adjuvant," <i>Cancer Res.</i> , 48:5883-5893 (1988).	
		MONDOVI, "Increased immunogenicity of Ehrlich ascites cells after heat treatment," <i>Cancer</i> , (30)4:885-888 (1972).	
		PHILLIPS, T., <u>Analytical Techniques in Immunochemistry</u> , pp. 307-310, Marcel Dekker, NY (1992).	
		PRICE, "Effect of heat and glutaraldehyde upon the immunogenicity of Meth A sarcoma cells," <i>Br. J. Cancer</i> 40:663-665 (1979).	
		RESTIFO, "Building better vaccines: how apoptotic cell death can induce inflammation and activate innate and adaptive immunity," <i>Curr. Opin. Immunol.</i> , 12:597-603 (2000).	
		ROMANI et al., "Proliferating dendritic cell progenitors in human blood," <i>J. Exp. Med.</i> , 180:83-93 (1994).	
		SAUTER BIRTHE et al., "Consequences of Cell Death: Exposure to Necrotic Tumor Cells, but Not Primary Tissue Cells or Apoptotic Cells, Induces the Maturation of Immunostimulatory Dendritic Cells," <i>Journal of Experimental Medicine</i> , Vol. 191, No. 3, pages 423-433 (2000)	
		SCHILD, "gp96--the immune system's Swiss army knife," <i>Nat. Immunol.</i> 1:100-101 (2000).	
		SELAURY, "Hyperthermia in Tissue-cultured Cells of Malignant Origin," <i>Cancer Res.</i> , 17:785-791 (1957).	
		SENSI, "Clonal Expansion of Lymphocytes in Human Metastases after Treatment With a Hapten-modified Autologous Tumor Vaccine," <i>Clin. Invest.</i> 99:710-717 (1997).	
		SHAI-F-MUTHANA, "Dead or Alive: Immunogenicity of Human Melanoma Cells When Presented by Dendritic Cells," <i>Cancer Res.</i> , 60:6441-6447 (2000).	
		SNIPPE et al., "Adjuvant Directed Immune Specificity at the Epitope Level. Implications for Vaccine Development. A Model Study Using Semliki Forest Virus Infection of Mice," pp. 155-166 in <u>Vaccine Design</u> .	

IDS Form PTO/SB/08: Substitute for form 1449A/PTO				<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)				Application Number	10/568,098
				Filing Date	06/20/2006
				First Named Inventor	GOLETZ, Steffen
				Art Unit	1633
				Examiner Name	Lesvitt, Maria Gomez
Sheet	4	of	4	Attorney Docket Number	10913.0003-00000

NONPATENT LITERATURE DOCUMENTS			
		SOMERSAN S. et al., "Primary Tumor Tissue Lysates Are Enriched in Heat Shock Proteins and Induce the Maturation of Human Dendritic Cells," <i>Journal of Immunology</i> , Vol. 167, No. 9, pages 4844-4852 (2001)	
		TODRYK, "Heat shock protein 70 induced during tumor cell killing induces Th1 cytokines and targets immature dendritic cell precursors to enhance antigen uptake," <i>The Journal of Immunology</i> , 163:1398-1408 (1999).	
		VERMES, "A novel assay for apoptosis. Flow cytometric detection of phosphatidylserine expression on early apoptotic cells using fluorescein labelled Annexin V," <i>J. Immunol. Meth.</i> , 184:39-51 (1995).	
		WELLS, "Heat shock proteins, tumor immunogenicity and antigen presentation: an integrated view," <i>Immunol. Today</i> , 21:129-132 (2000).	
		ZHANG, "Selection of Tumor Antigens as Targets for Immune Attack Using Immunohistochemistry: II. Blood Group-Related Antigens," <i>Int. J. Cancer</i> , 73, 50-56 (1997)	
		PCT International Search Report for PCT/EP2004/009281	
		U.S. Serial No. 10/524,738, Amendment filed on April 1, 2009	